



# Inspector General

United States  
Department *of* Defense

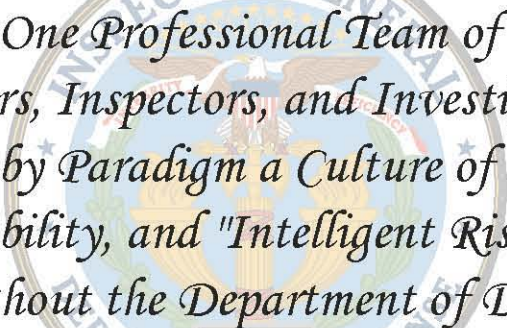
Inspections and Evaluations Directorate

## Strategic Plan

August 23, 2004

**OFFICE OF THE INSPECTOR GENERAL  
OF THE DEPARTMENT OF DEFENSE**

**VISION STATEMENT**

The seal of the Office of the Inspector General, Department of Defense, is a circular emblem. It features an eagle with wings spread, perched on a shield. The shield is divided into four quadrants, each containing a different symbol. The words "OFFICE OF THE INSPECTOR GENERAL" are written in a circle around the eagle, and "DEPARTMENT OF DEFENSE" is written in a circle around the bottom. At the bottom of the seal, there is a banner with the Latin motto "SUB TUTELA ALTISSIMI SENATUS".

*One Professional Team of  
Auditors, Inspectors, and Investigators,  
Inspiring by Paradigm a Culture of Integrity,  
Accountability, and "Intelligent Risk-Taking"  
Throughout the Department of Defense.*

# OIG I&E STRATEGIC PLAN EXECUTIVE SUMMARY



The final report may be obtained through our website at [www.dodig.osd.mil](http://www.dodig.osd.mil)

## VISION

A professional team of outcome-oriented inspectors promoting positive change by identifying opportunities for performance and efficiency improvements in Department programs and operations.

## MISSION

The Directorate of Inspections and Evaluations conducts objective and independent customer-focused management and program inspections addressing areas of interest to Congress and the Department of Defense, and provides timely findings and recommendations leading to positive changes in programs.

## WHO SHOULD READ THIS STRATEGIC PLAN AND WHY?

Civilian and military program managers with responsibility for DoD operations should read this plan. The plan presents the vision, mission operational concepts, goals, and objectives to guide the I&E Directorate over the next five year period. I&E is a new organization and functioned as an ad hoc directorate from September 2003 until the I&E Programming Plan was approved in March 2004. This strategic plan builds upon the basic tenets of the Programming Plan. Moreover, this strategic plan is consistent with and supports the DoD OIG's Strategic Plan.

I&E is organized into six divisions and functions as a multidisciplinary team of subject-matter experts working as "One Team" to provide program assessments and value-added recommendations to DoD managers and leaders to enhance DoD operational mission effectiveness and efficiency. Communication and collaboration with all stakeholders are key factors to achieve customer satisfaction.

## I&E DIRECTORATE GOALS AND OBJECTIVES.

To meet its vision and mission requirements in a sustained fashion, I&E established three strategic goals with supporting objectives.

**GOAL 1: OPERATIONS SUPPORT:** An operational management infrastructure exists within the I&E Directorate that fosters teamwork, efficiency, and effectiveness.

**Objective 1:** Directorate operating policies and procedures are consistent with applicable statutes, DoD Directives, and DoD IG implementing instructions.

**Objective 2:** Directorate organization clearly charts the functions, scope of operations, and authority of each of the operating divisions.

**Objective 3:** Establish a "People" program that efficiently and effectively recruits, trains, develops and retains professional employees.

**GOAL 2: EFFECTIVE COMMUNICATIONS:** An effective communications and coordination process is in place to successfully deliver the I&E message to all stakeholders.

**Objective 1:** An I&E communications plan is developed and implemented.

**Objective 2:** Communication training is provided for I&E personnel.

**GOAL 3: CUSTOMER SERVICE OPERATIONS:** Customer-focused inspections and evaluations are conducted in a collaborative fashion to provide value-added recommendations to decision makers.

**Objective 1:** Processes are in place to identify and prioritize customer-focused projects.

**Objective 2:** Processes are in place to report results efficiently and effectively.

Performance metrics and goals for measuring achievement of the objectives are tabulated in the main body of the strategic plan for each of the three goals. Information is also presented on organizational details, external factors and annual performance/benchmarking considerations.

# TABLE OF CONTENTS

	Page
<b>OIG I&amp;E Strategic Plan Executive Summary .....</b>	<b>i</b>
Who Should Read This Strategic Plan and Why? .....	i
I&E Directorate Goals and Objectives.....	i
<b>Introduction .....</b>	<b>1</b>
<b>Directorate Organization .....</b>	<b>2</b>
<b>Vision .....</b>	<b>3</b>
The I&E Directorate Vision .....	3
<b>Mission.....</b>	<b>3</b>
The I&E Directorate Mission .....	3
<b>Core Values .....</b>	<b>4</b>
<b>Operating Concepts .....</b>	<b>4</b>
<b>Goals and Objectives.....</b>	<b>5</b>
Strategies, Performance Metrics, and Performance Goals Defined .....	5
Goal 1: Operations Support.....	6
Goal 2: Effective Communications .....	7
Goal 3: Customer Service Operations .....	8
<b>External Factors .....</b>	<b>9</b>
Economic/Resources.....	9
Political/Legislative Environment.....	9
Technology .....	9
<b>Annual Performance and Benchmarking .....</b>	<b>10</b>
Annual Performance .....	10
Benchmarking.....	10

## INTRODUCTION

*The purpose of this strategic plan is to establish the vision, mission operational concepts, goals, and objectives to guide the I&E Directorate (hereafter, referred as “I&E”) over the next five years.*

**I&E is a new organization.** The DoD Inspector General announced the establishment of I&E in September 8, 2003 to fill a void for an inspections and evaluations capability that was dissolved in 1996 as a result of budgetary constraints and a general draw down of DoD end strength. I&E functioned as an ad hoc directorate from September 2003 until the I&E Programming Plan was approved in March 2004. The Programming Plan describes the organizational structure and general program guidance and specifies the administrative and support requirements to stand up I&E. This strategic plan builds upon the basic tenets of the Programming Plan. Moreover, this strategic plan is consistent with and supports the DoD OIG’s Strategic Plan.

I&E is a multidisciplinary team of subject-matter experts working as “One Team” to evaluate DoD policies, programs and operations. I&E’s charter is to provide program analysis and value-added recommendations to DoD managers and leaders to enhance DoD operational mission effectiveness and efficiency.

I&E provides consulting services and products to a community of stakeholders: Congress and other government agencies, DoD OIG and other DoD components. Communication and collaboration with all appropriate stakeholders are key factors to customer satisfaction.

I&E conducts inspection and evaluation services that are defined as assessment processes and are distinctly different from other IG functions like audits and investigations. Inspections are typically more structured than evaluations and generally assess compliance with established criteria. Evaluations focus on program performance and management to improve program operations and facilitate corrective actions. Evaluations are less structured and require experienced judgment to analyze complex variables and to develop credible recommendations. The two types of assessments are not mutually exclusive and for purposes of this strategic plan, the term “evaluations” encompasses both inspections and evaluations.

# DIRECTORATE ORGANIZATION

*I&E is organized into six divisions.*

Each division is assigned specific functional areas, as shown below. The divisions are designed to provide broad subject area expertise to address the President's Management Agenda, GAO's High-risk Areas, SECDEF's List of Top Priorities, and OIG's performance and management challenges.



*Figure 1. I&E Directorate Corporate Structure*

The six divisions are responsible for executing I&E's program. Division chiefs are the lowest level of decision authority and, typically, provide project oversight and recommend new initiatives. Specific areas of responsibility for the divisions are:

**Homeland Defense and National Security Division.** Evaluates operational policies, processes, and practices for homeland defense. It evaluates DoD program strategy, critical infrastructure, and vulnerability assessments.

**Joint Operations, Defense Agencies, and Service IGs.** Evaluates and provides oversight of defense agency / joint operations / Service IGs with a focus on program performance and crosscutting issues.

**Installations and Engineering.** Evaluates operational policies, processes, and practices of DoD infrastructure and engineering operations, including installation management, energy, critical infrastructure, etc.

**Environment, Safety, and Occupational Health Division.** Evaluates DoD environment, safety, and occupational health programs with an emphasis on management systems, best practices, emergency preparedness, consequence management, and mishap investigation.

**Special Projects and Technical Assistance Division.** Performs special projects on high profile or sensitive requests from Congress or senior management.

**Integration and Utilization of Reserve Components Division.** Evaluates Reserve component relationships between OSD, Services, the National Guard Bureau, and the States/Territories focusing on policies and procedures for resourcing and best practices.

Accomplishment of the I&E's mission depends on the ability of analyst teams to select priority issue areas, to effectively analyze those areas, and to document value-added recommendations

for operational improvement. Directorate management will generate work plans based on identified Department operational requirements. To satisfy DoD and congressional priorities, I&E will employ a customer-focused, programmatic approach to problem identification and problem solving.

## **VISION**

*A professional team of outcome-oriented inspectors promoting positive change by identifying opportunities for performance and efficiency improvements in Department programs and operations.*

### **THE I&E DIRECTORATE VISION**

I&E employs qualified functional experts, performing as a closely integrated team operating with the best possible processes and practices, to ensure continuous, value-added improvements of Department of Defense programs and operations.

## **MISSION**

*The Directorate of Inspections and Evaluations conducts objective and independent customer-focused management and program inspections addressing areas of interest to Congress and the Department of Defense, and provides timely findings and recommendations leading to positive changes in programs.*

### **THE I&E DIRECTORATE MISSION**

The mission statement conveys the purpose of the I&E Directorate to customers in and out of the DoD. I&E executes the mission with a strong emphasis on OIG's "One Team" philosophy. Accomplishing the mission requires professional evaluators working together and fostering partnerships with DoD's and other agency's process owners and stakeholders. As a consulting organization, I&E services include conducting inspections, evaluations, studies, directed inquiries, and organizational assessments.

I&E provides various products to senior decision makers throughout the Department:

- Evaluation Reports – Full results of a review, evaluation, or inspection.
- Evaluation Brochures – Synopsis of evaluation process and evaluation reports.
- Management Letters – Results of limited or highly focused effort.
- Point Papers – Summary of issues, facts, discussion, recommendations.
- Briefing to the decision maker / customer – Limited presentation.



Distribution of these products provides decision-makers with the information and analysis to facilitate management decisions and value added improvements: For example, inspection and evaluation findings may recommend:

- Legislative, regulatory and policy changes.
- Implementation of best business practices.
- Monetary return on investments.
- Improved business/system efficiencies.
- Actions that eliminate and reduce risk to personnel and operations.

## CORE VALUES



The core values underlying the performance of I&E are:

- **Accountability** – Applying and accounting for the use of public resources economically, efficiently, and effectively.
- **Integrity** – Ensuring adherence to accepted codes of ethics and practice, while demonstrating objectivity, independence, professional judgment, and confidentiality.
- **Efficiency** – Managing available resources at the least cost to produce the greatest results in terms of public benefit, return on investment, and risk reduction.

## OPERATING CONCEPTS

*These operating concepts are essential for the success of all I&E operations.*

I&E management and project teams must adhere to the following fundamental concepts during the performance of all projects. We must:

- Perform timely, relevant, and accurate work of sufficient scope.
- Emphasize customer focus by concentrating efforts on areas of importance to Department decision-makers.
- Conduct follow-up evaluations to assess implementation of recommendations and measure, qualitatively and/or quantitatively, the impact of process improvements.
- Perform all work to PCIE quality standards for inspections to insure accuracy and credibility of products and services.
- Hire, develop, sustain, and recognize a professional team of evaluators and subject matter experts.



- Maintain effective internal and external communications and foster value-added professional relationships.
- Focus on “One Team” of inspectors, auditors, and investigators; and prevent actual and perceived duplication of effort.

Directorate personnel must incorporate these operating concepts in all project activities. The operating concepts also provide the driving philosophy for the development of work plans, project prioritization, and other organizational decisions.

## **GOALS AND OBJECTIVES**

*This Strategic Plan establishes the goals for the Directorate and describes the objectives to achieve those goals.*

The DoD operates in a transformational environment and must exercise flexibility to accommodate change and/or effect necessary change. I&E’s vision recognizes this environment and promotes its role to facilitate improvements in the way DoD does business. As a framework to build goals, the Directorate considers projects that support the President’s Management Agenda, General Accountability Office High-risk Areas, SECDEF’s List of Top Priorities, the DoD IG’s Strategic Plan, and requests from Congress, DoD officials, and the DOD IG.

## **STRATEGIES, PERFORMANCE METRICS, AND PERFORMANCE GOALS DEFINED**

- Strategies are associated with specific program objectives. They represent the plans of action needed to achieve each of the objectives in support of the Directorate’s goals. Directorate strategies, along with associated performance metrics and performance goals are described in the following Tables.
- Performance metrics are those measurable events that show progress toward achievement of the stated objective. Acceptable metrics include numerical quantities, qualitative descriptors, or realization of specific events.
- Performance goals describe acceptable levels of performance for individual performance metrics.

## GOAL 1: OPERATIONS SUPPORT

An operational management infrastructure exists within the I&E Directorate that fosters teamwork, efficiency, and effectiveness.

### Objective 1:

Directorate operating policies and procedures are consistent with applicable statutes, DoD Directives, and DoD IG implementing instructions.

#### Strategies:

- Compile a list of governing documentation for I&E.
- Publish internal performance reports that address compliance with requirements.
- Conduct a periodic assessment of I&E governing documents.

#### Performance Metrics:

- Statutory and regulatory compliance rate.

#### Performance Goals:

- I&E's statutory and regulatory compliance rate is 100% as assessed by end of each fiscal year.

### Objective 2:

Directorate organization clearly charts the functions, scope of operations, and authority of each of the operating divisions.

#### Strategies:

- Organize for optimal integration of military and civilian personnel to manage programs and complete projects.
- Develop mission statements for each Division that clearly state responsibilities, scope of operations, and organization.
- Develop, publish, maintain, and update an I&E operations handbook.

#### Performance Metrics:

- Employee satisfaction with their I&E organization.
- Percentage of inspections and evaluations that meet PCIE inspection standards.
- Completion and maintenance of the operations handbook.

#### Performance Goals:

- All I&E team members clearly understand and accept the Directorate organization.
- All work products meet PCIE standards.
- Complete the operations handbook by 3rd quarter FY 05 and implement periodic reviews.

### Objective 3:

Establish a "People" program that efficiently and effectively recruits, trains, develops and retains professional employees.

#### Strategies:

- Recruit and retain professionals that have multidisciplinary experience, are technically competent, innovative, and work harmoniously on integrated teams.
- Identify training and education needs for each position utilizing the Individual Development Plan (IDP).
- Develop a succession plan that incorporates training needs for key directorate positions.

#### Performance Metrics:

- Employee retention/turnover rate.
- Completion rate for IDPs.
- Succession plan and required training completed.

#### Performance Goals:

- Maintain a retention rate 10% above IG-DOD statistics.
- Complete 100% of IDPs by 1<sup>st</sup> quarter FY 05.
- Complete succession plan and required training by 4<sup>th</sup> quarter FY 05 and review periodically, thereafter.

## GOAL 2: EFFECTIVE COMMUNICATIONS

An effective communications and coordination process is in place to successfully deliver the I&E message to all stakeholders.

### Objective 1:

Develop and implement an I&E Communications Plan.

#### Strategies:

- Write a plan to guide the I&E communications efforts.
- Establish a web site for the I&E Directorate linked to other IG organizations.
- Design and distribute an informational handout for all DOD personnel.
- Maintain contact with DoD organizations with potential need of I&E services.
- Ensure I&E's Communications Plan, Business Plan, Handbook, and Programming Plan are appropriately aligned.

#### Performance Metrics:

- Completion of the communications plan and establishment of a periodic review schedule.

#### Performance Goals:

- Complete I&E Communications Plan by 2<sup>nd</sup> quarter of FY 05 and conduct an annual plan review.

### Objective 2:

Communication training is provided for I&E personnel.

#### Strategies:

- Establish "communication" as a core competency area for I&E staff.
- Incorporate communications training in each employee's Individual Development Plan.
- Support and encourage personnel to pursue additional training opportunities.

#### Performance Metrics:

- Number of personnel who receive training in communications during the FY.
- Number of IDPs incorporating training in communications.

#### Performance Goals:

- All senior personnel attend at least one communications course each calendar year.
- 75percent of personnel complete initial communications training within 6 months of assignment.
- 100 percent of IDPs incorporate communications training course(s).
- 100 percent of personnel complete annual refresher communications training.

### GOAL 3: CUSTOMER SERVICE OPERATIONS

Customer-focused inspections and evaluations are conducted in a collaborative fashion to provide value-added recommendations to decision makers.

#### Objective 1:

Processes are in place to identify and prioritize customer-focused projects.

##### Strategy:

- Monitor the Defense Hotline System to identify potential projects.
- Develop and maintain a priority list of planned projects in coordination with stakeholders.
- Create and maintain an I&E project workload schedule.
- Prepare and submit budget/POM requirements in a timely manner.

##### Performance Metrics:

- Formal submission of mission-based budget/POM requirements.
- Formal DIG I&P approval of next FY schedule.
- Percentage of workload dedicated to customer-focused projects. .

##### Performance Goals:

- Prepare and submit budget/POM requirements by June of each year.
- Obtain DIG I&P approval of next FY schedule by May 31st of previous year.
- At least 50% of workload is dedicated to customer-focused projects.

#### Objective 2:

Processes are in place to report results efficiently and effectively.

##### Strategy:

- Produce quality products in accordance with PCIE standards.
- Create and maintain an I&E reporting format.
- Develop and maintain a follow-up tracking system for report recommendations.

##### Performance metric:

- Completion of the I&E reporting format.
- Development and maintenance of a follow-up tracking system.

##### Performance Goal:

- Complete design of the I&E reporting format by end of FY 05 and review format annually.
- Implement a follow-up tracking system by the end of FY 05 and review progress quarterly.

## **EXTERNAL FACTORS**

*Economic, political, and technological changes generate risk to both processes and the achievement of Directorate goals.*

I&E's success is dependent upon the Directorate's ability to influence senior decision-makers to take appropriate action. The following specific factors have the potential to affect I&E's operations.

### **ECONOMIC/RESOURCES**

The DoD budget impacts funding for the Inspector General and, specifically, Directorate resources and programs. Insufficient or variable levels of funding could cause difficulties in hiring and retaining qualified staff, impact travel and training, and constrain equipment acquisition and workspace considerations.

### **POLITICAL/LEGISLATIVE ENVIRONMENT**

While the role of the Office of the Inspector General and public demand for accountability is expected to remain constant, changes to and within the Administration can impact the ability of the Inspector General to access and influence senior officials. In addition, rotation of senior officials in the Department routinely creates changed priorities. External events often lead to new Department initiatives. Each of these cases can lead to significant changes in the scope and focus of I&E goals and programs.

### **TECHNOLOGY**

The Directorate must stay abreast of technological changes. To retain functional competency, personnel should maintain currency with the technologies that could be used to facilitate the evaluation process and to assist customers who want to employ technology to streamline and improve their programs and operations. To maximize credibility, the Directorate should employ the best information technology tools to both analyze data and produce timely, professional reports.

## **ANNUAL PERFORMANCE AND BENCHMARKING**

*Our annual performance plans will provide annual goals to reach long-term targets and our benchmarking exercises will improve I&E business processes.*

### **ANNUAL PERFORMANCE**

I&E will use FY 2004 as the baseline from which to adjust long-term targets. Subsequently, the staff will continually refine our metrics to better quantify the value of our products and services. Our annual review process will include an annual review of this Strategic Plan.

### **BENCHMARKING**

We will use the benchmarking process to identify, understand and adapt outstanding practices from other organizations to improve performance. We will develop additional measures to evaluate performance through coordination and discussions with the General Accountability Office and other members of the PCIE Inspections and Evaluations community.

DEPARTMENT OF DEFENSE



**To report fraud, waste, mismanagement, and abuse of authority.**

Send written complaints to: Defense Hotline, The Pentagon, Washington, DC 20301-1900  
Phone: 800.424.9098      e-mail: [hotline@dodig.osd.mil](mailto:hotline@dodig.osd.mil)      [www.dodig.osd.mil/hotline](http://www.dodig.osd.mil/hotline)





Friedrich Wilhelm Augustus von Steuben was the Inspector General of the Continental Army and served under General George Washington. He is recognized as the "Father of the Inspector General System" of the United States Military.



Inspector General  
Department *of* Defense



NO MONEY SHALL BE DRAWN FROM THE TREASURY, BUT IN CONSEQUENCE OF APPROPRIATIONS MADE BY LAW;  
AND A REGULAR STATEMENT AND ACCOUNT OF THE RECEIPTS AND EXPENDITURES OF ALL PUBLIC MONEY SHALL BE  
PUBLISHED FROM TIME TO TIME. U.S. CONSTITUTION - ARTICLE 1, SECTION 9.